



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

MICHAEL A. KOZUCH, ET AL.

Application No.: 10/043,843

Filed: November 1, 2001

For: **AN APPARATUS AND METHOD FOR
UNILATERALLY LOADING A SECURE
OPERATING SYSTEM WITHIN A
MULTIPROCESSOR ENVIRONMENT**

Art Group: 2151

Examiner: To Be Determined

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

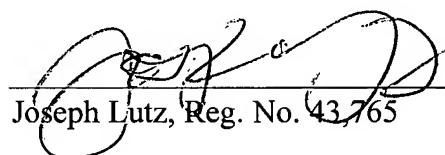
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: November 26, 2002



Joseph Lutz, Reg. No. 43,765

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Los Angeles, California 90025
(310) 207-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Box Assignment, Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 26, 2002

Margaux Rodriguez 11-26-02
Date

FOREIGN PATENT DOCUMENTS							
Exam. Initial*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴ Kind Code ⁵ (If known)				
		EP	0600112	Seimens Nixdorf Information Systeme	08/06/1994		
		WO	9844402	PCT	10/08/1998		
		WO	9905600	PCT	02/04/1999		
		WO	9909482	Seimens Nixdorf Information Systeme	02/25/1999		
		WO	9957863	PCT	11/11/1999		
		WO	0062232	PCT	10/19/2000		
		EP	1146715	EP	10/17/2001		
		EP	0930567A	Texas Instruments	07/21/1999		
		WO	9834365A	AT&T Corporation	08/06/1998		

Examiner Signature		Date Considered	
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Substitute for Form 1449A/PTO (Modified)

Complete if Known

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

DEC 02 2002

Application Number	10/043,843
Filing Date	November 1, 2001
First Named Inventor:	Michael A. Kozuch
Group Art Unit	2151
Examiner Name	To Be Determined

Sheet 2 of 2 Attorney Docket Number 42390.P11931

OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual," April 1, 1993, MIPS, MT. VIEW, XP002184449, pp. 61-97.	
		Heinrich, J., "MIPS R4000 Microprocessor User's Manual," 1994, MIPS Technology Inc., Mountain View, CA, pp. 67-79.	RECEIVED
		"M68040 USER'S MANUAL," 1993, MOTOROLA, INC., pp. 1-20	DEC 04 2002
		"INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT," 12/31/95, INTEL, INC., pp. 32-56, figures 4-14	Technology Center 2100
		BERG, C., "HOW DO I CREATE A SIGNED APPLET?," DR. DOBB'S JOURNAL, M&T Publ., Redwood City, CA, US, Vol. 22, No. 8, 8/97, pp. 109-111, 122	
		GONG, L., et al., "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2," Proceedings of the Usenix Symposium on the Internet Technologies and Systems, Monterrey, CA 12/97, pp. 103-112.	
		GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.	
		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983	
		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.	
		LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," http://www.plex86.org/research/paper.txt; 11/29/99; pp. 1-31.	

Examiner Signature	Date Considered
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

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#S BT 2151
3-20-03

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/043,843
Filing Date	November 1, 2001
First Named Inventor	Michael A. Kozuch
Group Art Unit	2151
Examiner Name	To Be Determined
Total Number of Pages in This Submission	28
Attorney Docket Number	42390P11931

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ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">Copies of 20 Cited References; and Return Receipt Postcard</div>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<div style="border: 1px solid black; padding: 5px;">Remarks</div>	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Joseph Lutz, Reg. No. 43,765 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 26, 2002

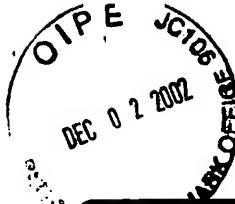
CERTIFICATE OF MAILING/TRANSMISSION

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November 26, 2002

Typed or printed name	Margaux Rodriguez
Signature	
Date	November 26, 2002

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FEET TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number	10/043,843
Filing Date	November 1, 2001
First Named Inventor	Michael A. Kozuch
Examiner Name	To Be Determined
Group/Art Unit	2151
Attorney Docket No.	42390P11931

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DEC 04 2002

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METHOD OF PAYMENT (check one)

Check Credit card Money Order Other None

Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

- Charge fee(s) indicated below Credit any overpayments
- Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	740	2001	370	Utility filing fee
1002	330	2002	165	Design filing fee
1003	510	2003	255	Plant filing fee
1004	740	2004	370	Reissue filing fee
1005	160	2005	80	Provisional filing fee
SUBTOTAL (1)		(\$)		

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
<input type="checkbox"/>	- 20 * = <input type="checkbox"/>	x <input type="checkbox"/> = <input type="checkbox"/>	
Independent Claims	3 = <input type="checkbox"/>	x <input type="checkbox"/> = <input type="checkbox"/>	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	260	2203	140	Multiple Dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)		

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge - late filing fee or oath
1052	50	2052	25 Surcharge - late provisional filing fee or cover sheet.
2053	130	2053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for ex parte reexamination
1804	920 *	1804	920 * Requesting publication of SIR prior to Examiner action
1805	1,840 *	1805	1,840 * Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	400	2252	200 Extension for reply within second month
1253	920	2253	460 Extension for reply within third month
1254	1,440	2254	720 Extension for reply within fourth month
1255	1,960	2255	980 Extension for reply within fifth month
1404	320	2401	160 Notice of Appeal
1402	320	2402	160 Filing a brief in support of an appeal
1403	280	2403	140 Request for oral hearing
1451	1,510	2451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive - unavoidable
1453	1,280	2453	640 Petition to revive - unintentional
1501	1,280	2501	640 Utility issue fee (or reissue)
1502	460	2502	230 Design issue fee
1503	620	2503	310 Plant issue fee
1460	130	2460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	740	1809	370 Filing a submission after final rejection (37 CFR § 1.129(a))
1810	740	2810	370 For each additional invention to be examined (37 CFR § 1.129(b))
1801	740	2801	370 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			
SUBTOTAL (2)		(\$)	

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Joseph Lutz	Registration No. (Attorney/Agent)	43,765	Telephone	(310) 207-3800
Signature				Date	11/26/02

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